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Docket No.: 3992P003

#7  
12-6-2  
Roberts-  
IDS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JOHN BRINKMAN, ET AL.

Application No.: 09/990,801

Filed: November 21, 2001

For: **Interface Device to Couple A Musical  
Instrument To A Computing Device To  
Allow A User To Play A Musical  
Instrument In Conjunction With A  
Multimedia Presentation**

Art Group: 2131

Examiner: Unassigned

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APR 18 2002

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



Eric T. King, Reg. No. 44,188

Date: April 10, 2002

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

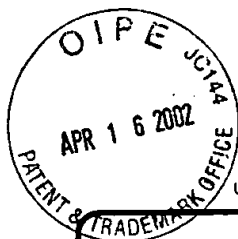
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: April 10, 2002.

  
Susan McFarlane

04/10/02

Date



2131

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application No.	09/990,801
		Filing Date	November 21, 2001
		First Named Inventor	John Brinkman
		Group Art Unit	2131
		Examiner Name	Unassigned
Total Number of Pages in This Submission	13	Attorney Docket Number	3992P003

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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Six Prior Art References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Eric T. King, Reg. No. 44,188 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	April 10, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: April 10, 2002			
Typed or printed name	Susan McFarlane		
Signature		Date	April 10, 2002

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

0

## Complete if Known

Application Number 09/990,801  
Filing Date November 21, 2001  
First Named Inventor John Brinkman  
Examiner Name Unassigned  
Group/Art Unit 2131  
Attorney Docket No. 3992P003

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## METHOD OF PAYMENT (check one)

- ☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of the application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

### 2. EXTRA CLAIM FEES

Total Claims 44  
Independent Claims 3  
Multiple Dependent  
Extra Claims  
Fee from below  
Fee Paid

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	

\*\*or number previously paid, if greater. For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920 *	112	920 *	Requesting publication of SIR prior to Examiner action	
113	1,840 *	113	1,840 *	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) Eric T. King  
Registration No. (Attorney/Agent) 44,188  
Telephone (714) 557-3800  
Signature [Signature]  
Date 04/10/02

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SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Substitute for Form 1449A/PTO (Modified)  <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center; font-size: small;">(Use as many sheets as necessary)</p>		<b>Complete if Known</b>	
		Application Number	09/990,801
		Filing Date	11/21/2001
		First Named Inventor:	Brinkman
		Group Art Unit	2131
		Examiner Name	Unassigned
		Attorney Docket Number	003992P003
Sheet	2		
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No <sup>1</sup>	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	1	TOM SHELDON, Encyclopedia of Networking, Electronic Edition, pgs. 324-329, Osborne/McGraw-Hill, 1998.	
	2	Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001">http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001</a> & <a href="http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images,2001">http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images,2001</a> .	
	3	Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.digidesign.com/products/prd_specs.cfm?product_id=1001">http://www.digidesign.com/products/prd_specs.cfm?product_id=1001</a> , 2001.	
	4	e-commerce - a searchEBusiness definition, E-tailing or The Virtual Storefront and the Virtual Mall, <a href="http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html">http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html</a> , 2001.	
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Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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